

State Water Resources Control Board
Division of Clean Water Programs
Financial Assistance Application

Type of Assistance Requested

☐ A. State Revolving Fund
Loan Program (SRF)

☐ B. Water Reclamation
Loan Program (WRLP)

☐ C. Small Community
Grant Program (SCG)

Amount of Assistance Requested: _____

State Assigned Project No.: _____

I. Applicant Information

Agency Name: _____

Street Address: _____

Mailing Address: _____

Authorized Representative (Name/Title/Phone): _____

Contact Person (Name/Title/Phone): _____

II. Project Information

1. Project Description: _____ (Attach a brief description. Label as Attachment 1)

2. Project Name: _____

3. Reg. Water Quality Control Bd.: _____ 4. Est. Construction Start Date: _____

5. Current Project Status: ☐ Planning Underway ☐ Planning Complete ☐ Other _____

6. Estimated Project Capital Costs and Funding Summary:

Cost Classification	SWRCB Program Share, \$	Applicant's Share, \$	Other Loans or Grants, etc., \$	Total, \$
A. Facilities Construction				
B. Facilities Planning (a, c)				
C. Facilities Design (a)				
D. Administration and Legal (a)				
E. Land & Right-of-Way (b)				
F. Prime Engineering (a, c)				
G. Contingencies				
H. Relocation Payments (a, c)				
I. Engineering Services During Const. (a)				
J. Other Costs (explain)				
K. Total Capital Costs				
L. Additional Cash Flow Needs (d)	Not Fundable			
M. Total Funding Requirements				

(a) An allowance may be provided for planning, design, legal, engineering during construction, relocation payments, and administration costs. For details, please refer to the guidelines of the corresponding program.

(b) WRLP Program only.

(c) SRF Loan Program and SCG Program only.

(d) This is the amount in excess of the total capital costs needed to cover cash flow requirements during construction. This amount is obtained from the cash flow analysis in the Construction Financing Plan.

All costs in Item 6 above are adjusted to the following date: _____ by using the following rate of inflation
_____ % annually, or cost index: (name) _____, (index value) _____

7. Sources of Funds for Capital Costs:

Source	(e)	Amount, \$
A. Loan or Grant Requested		
B. Cash Reserves Now on Deposit		
C. Bonds	(f)	
D. Tax Levies	(g)	
E. Non-cash	(h)	
F. Short Term Loans or Notes	(h)	
G. Other State Loans or Grants	(i)	
H. Other Federal Grants or Loans	(h)	
I. Other		
J. Total	(j)	

- (e) Use attachments if necessary (label as Attachment 2).
 (f) Specify type of bonds, provide date of voter approval, total amount of authorized issue, and effective interest rate.
 (g) Specify type of tax and provide the amount to be received by the date of the expected state loan award.
 (h) Provide details of legal authorization, cite appropriate code or other legal reference, specific source of funds, time of expected receipt and, in the case of liabilities, the security provided by the Applicant.
 (i) Provide name of program and law authorizing program, whether grant or loan, date of approval, schedule of payments, and effective interest rate for loan.
 (j) This total should equal the Total in item 6.M. above.

III. Authorization and Other Approvals

- Legal authority:** Submit a legal opinion, including legal citations, addressing the following issues (label as Attachment 3):
 - The legal authority to enter into a loan or grant contract with the State Water Resources Control Board.
 - Any requirements that the applicant hold an election before entering into a loan or grant contract with the State Water Resources Control Board. If an election is required, state the date held or the date scheduled: _____
- Applicant Authorization:** Submit a certified copy of a resolution adopted by the governing body (label as Attachment 4). A model resolution is attached for your reference.
- Water Rights:** To comply with Sections 1210 through 1212 of the Water Code, a Petition for Change may be required to be filed and be approved by the Division of Water Rights, State Water Resources Control Board.
 Have you filed a petition with the Division of Water Rights? ☐ Yes ☐ No
 If no, explain: _____
 You should contact the Division of Water Rights, Petition Unit, at (916) 657-1942 for further information.
- Project Report or Facilities Planning Document:** Submit a completed facilities planning document and any supplementary documents that contain the required facilities planning information described in each of the program guidelines (label as Attachment 5).
- Environmental Review:** Refer to the Division of Clean Water Programs "Environmental Review Process Guidelines for State Loan and Small Community Grant Applicants" for details on meeting state environmental review requirements. Submit all available environmental documents for your project (label as Attachment 6). Indicate below those documents submitted:
☐ Negative Declaration, ☐ Draft EIR, ☐ Final EIR, ☐ Notice of Determination
 State Clearinghouse Number _____
- Draft Revenue Program:** Submit a draft revenue program (label as Attachment 7). For more information, please refer to the respective program guidelines. Water reclamation projects funded by the SRF need to submit draft revenue program satisfying WRLP guidelines only.
- Project Schedule:** Submit a project schedule showing project milestone dates (label as Attachment 8). This schedule should be updated periodically as more information becomes available.

8. **Regional Board Requirements:** Submit adopted or tentative Waste Discharge Requirements (WDR), Water Reclamation Reclamation Requirements, and/or NPDES Permit which the Regional Board has adopted or proposed for the project (label as Attachment 9).
9. **Real Property Acquisition:** Has all necessary land or right-of-way been acquired? ☐ Yes ☐ No
If no, submit status of acquisition (label as Attachment 10).
10. **Agreements With Other Parties:** Please list (in section V) all agreements and approvals needed for implementation of the project. Explain status of said agreements and approvals.

IV. Other Submittals

A - State Revolving Fund Loan Program

1. **Water Conservation Plan:** Prior to approval of the project by the State Water Resources Control Board, specific Water Conservation requirements must be achieved. In fulfillment of these requirements, please indicate below what pertinent information you are submitting (label as Attachment 11):
- ☐ Proof of signed Memorandum Of Understanding with California Urban Water Conservation Council or
- ☐ Copy of the developed Water Conservation Program for approval by the State Water Resources Control Board or
- ☐ None at this time. Please explain _____
- For more information, please call (916) 227-4554 and ask for the Water Conservation Specialist.
2. **Dedicated Source of Revenue:** A "Dedicated Source of Revenue" is required to repay the loan. See revenue program requirements included in the "Policy for Implementing the State Revolving Fund for Construction of Wastewater Treatment Facilities," as amended. Please attach appropriate resolution or ordinance or indicate schedule to provide dedicated source of revenue (label as Attachment 12). A Dedicated Source of Revenue must be approved before a loan contract can be issued.
3. **Certification of Compliance with Federal Laws and Authorities:** (Attachment 13)
4. **Pre-Award Compliance Report:** (Attachment 14)

B - Water Reclamation Projects (SRF or WRLP)

This section applies to water reclamation projects constructed for the purpose of providing water supply rather than water pollution control or wastewater disposal. For water reclamation projects funded by the SRF, the documents required under section IV.A must also be submitted.

1. Estimated Annual Costs:

Cost Classification	Annual Costs, \$	
	First Year	Fifth Year
Debt Service		
Fixed Operation and Maintenance Costs		
Variable Operation and Maintenance Costs		
Other (explain)		
Total Annual Costs		

Assumed Date of Costs for:

First Year of Operation: _____

Fifth Year of Operation: _____

Assumed Cost Index or Rate of inflation: Index Name: _____ Index Value: _____ or
Inflation Rate: _____ % per yr.

2. Annual Deliveries:

Year of Operation	1	2	3	4	5
No. of Sites					
Amount, (Ac-Ft/Yr)					

3. Reclaimed Water User Assurances: Please indicate method of providing user assurances

☐ User Agreements

☐ Mandatory Use Ordinance

Refer to WRLP guidelines for latest requirements and timing of submittals (label as Attachment 15).

V. Notes or Explanations:

VI. Certification and Signature of Authorized Representative

I certify that the information in this application, including all attachments, is true and correct to the best of my knowledge and belief. I understand that updated information will be required to be submitted later.

Signature: _____

Date: _____

Printed Name: _____

Agency's Federal I.D. No.: _____

CALIFORNIA STATE WATER RESOURCES CONTROL BOARD
DIVISION OF CLEAN WATER PROGRAMS
STATE REVOLVING FUND (SRF)
LOAN CONTRACT REVIEW CHECKLIST

Project No. _____
(from SRF Priority List)

Applicant _____

Project Description _____
(exactly as to be used in Loan Contract - use attachment if more space required)

Items 1-10 to be completed by Project Managers and submitted to Contracts Team when Plans and Specs are approved.

<u>Surname</u>	<u>Date</u>		<u>Explain any no answers</u>
_____	_____	1. Has the project met all the priority requirements for receiving a loan in the current year? (Attach SWRCB Resolution approving loan)	Yes _____ No _____
_____	_____	2. Is this a refinance or retroactive funding project? (If refinance, please submit a letter of concurrence from the State Treasurer's Office via Eric Torguson regarding funding. Payments up to eight (8) Federal Fiscal Year (F.F.Y.) Quarters, commencing from the date of the Federal Capitalization Grant for the FFY monies from which this project is being funded.	Yes _____ No _____
_____	_____	3.a. Has the applicant demonstrated the legal, institutional, managerial and financial capability to construct, operate, and maintain the project?	Yes _____ No _____
_____	_____	b. Has the applicant been informed of the program records keeping requirements?	Yes _____ No _____
_____	_____	4. Has the applicant met the Revenue Program requirements including: a) An approved draft final user charge system? b) Approved ordinance or resolution committing dedicated source to repay the loan? c) Approval of proposed or existing sewer use ordinance?	Yes _____ No _____ Yes _____ No _____ Yes _____ No _____
			Date _____
Revenue Program Specialist			
_____	_____	5.a. Has the project received Facility Plan Approval? (Attach a copy of Facility Plan Approval letter.)	Date of Appr _____
_____	_____	b. Have all environmental conditions of loan approval been met?	Yes _____ No _____
_____	_____	c. Are there any environmental condition(s) to be included in the loan contract? (If yes, enter condition(s) in No. 9.)	Yes _____ No _____
			Date _____
Environmental Review Coordinator			
_____	_____	6. Have the plans and specifications been approved? (Attach a copy of Plans and Specification Approval letter. The date of this letter will be used in first paragraph of the loan contract.)	Date of Appr _____